

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Kent F. Hayes, Jr. : Date: March 22, 2004

Serial Number: N/A : Group Art Unit: N/A

Filed: Herewith : Examiner: Unknown

Title: Tunable Engine, Method and : IBM CORPORATION
Program Product for Resolving : IP Law - Dept. T81/Bldg. 503
Prerequisites for Client Devices in an Open 3039 Cornwallis Road
Service Gateway Initiative (OSGi) : Research Triangle Park, NC 27709
Framework

INFORMATION DISCLOSURE STATEMENT (IDS) UNDER 37 CFR 1.97

Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

The attached Form PTO-1449, and any attached foreign patent office search report, provides a listing of information which may be relevant to the subject application. This IDS is not intended as a representation that better art is not available, nor that the information provided is prior art.

This IDS is submitted under:

X 37 CFR 1.97(b) - No Fee.

 37 CFR 1.97(c) - No Fee. Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application. This communication is dated _____, which is not more than 3 months prior to the mailing of this statement.

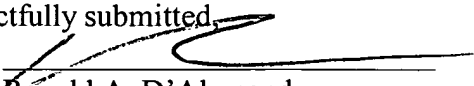
 37 CFR 1.97(c) - Fee.

 37 CFR 1.97(d) - Fee, Certification & Petition.

The Commissioner is authorized to charge payments of any associated fees required under 37 CFR 1.17(p) and (i) (1) to Deposit Account No. 09-0461 (IBM).

Respectfully submitted,

By:


Ronald A. D'Alessandro

Registration No. 42,456

Telephone No.: (518) 449-0044

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	
				Filing Date	
				First Named Inventor	
				Art Unit	
				Examiner Name	
Sheet	1	of	2	Attorney Docket Number	RSW920030234US1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-2002/0013939 A1	01/31/2002	Daynes et al.	
		US-2003/0028869 A1	02/06/2003	Drake et al.	
		US-2003/0097422 A1	05/22/2003	Richards et al.	
		US-6,389,464 B1	05/14/2002	Krishnamurthy et al.	
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FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	† ⁶
		Country Code ³	-Number ⁴	-Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.
³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Substitute for form 1449B/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Application Number		
			Filing Date		
			First Named Inventor	Kent F. Hayes, Jr.	
			Group Art Unit		
			Examiner Name		
Sheet	2	of	2	Attorney Docket Number	RSW920030234US1

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		INSPEC, AN 7516673, RICHARDS et al., "Assisting Decision Making in Requirements Reconciliation", 7 th International Conference on Computer Supported Cooperative Work in Design, 2002, pp. 345-350.	
		INSPEC, AN 4341352, PFANNSTIEL et al., "Self-tuning and Adaptive Control with Personal Computers", Identification and System Parameter Estimation 1991, Selected Papers from the Ninth IFAC/IFORS Symposium, pp. 1215-1220, Vol. 2, 1992.	
		SUGUMARAN et al., "Identifying Software Components from Process Requirements Using Domain Model and Object Libraries", Undated, pp. 65-81.	
		GALLIVAN et al., "Strategies for Implementing New Software Processes: An Evaluation of a Contingency Framework", SIGCPR/SIGMIS 1996, pp. 313-325.	

Examiner Signature		Date Considered	
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